

07-09-01

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07/05/01  
JULY 5, 2001  
U.S. PTO

SD6853/S96530  
July 5, 2001  
Express Mail No.: EL026585914US

ASSISTANT COMMISSIONER FOR PATENTS  
BOX PATENT APPLICATION  
WASHINGTON, D.C. 20231

JULY 5, 2001  
U.S. PTO  
07-09-0900004

UTILITY PATENT APPLICATION TRANSMITTAL  
Under 37 CFR 1.53(b)

Transmitted herewith for filing is the patent application of

INVENTOR(S): Thor Bakke and Charles T. Sullivan

FOR: Vertically-Tapered Optical Waveguide and Optical Spot  
Transformer Formed Therefrom

I. APPLICATION ELEMENTS

1.  Fee Transmittal Form (original + duplicate)
2.  Specification  
Total Pages 21
3.  Drawings  
Total Sheets 3
4.  Oath or Declaration (with Power of Attorney) Total Pages 2
  - a.  Newly Executed
  - b.  Copy from Prior Application  
(Continuation or Divisional)  
 Deletion of Inventors  
Signed Statement Attached Deleting Inventor(s) named in  
prior Application. 37 CFR 1.63(d)(2) and 1.33(b).
5.  Incorporation by Reference (if Box 4b is checked). The entire  
disclosure of the prior application(s) from which a copy of the  
Oath or Declaration is supplied under Box 4b, is considered as  
being part of the disclosure of the accompanying application and  
is hereby incorporated by reference therein.
6.  Microfiche Computer Program (Appendix)

## II. ACCOMPANYING APPLICATION PARTS

7.  Assignment Papers (cover sheet and document(s))

8.  37 CFR 3.73(b) Statement (where there is an assignee)  Power of Attorney (with the Declaration)

9.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

10.  Preliminary Amendment

11.  Return Receipt Postcard (Itemized)

12.  Other

## III. IF A CONTINUING APPLICATION

Continuation  Divisional  Continuation-in-Part (CIP)

of prior application No. \_\_\_\_/\_\_\_\_\_

## IV. CORRESPONDENCE ADDRESS

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Sandia National Laboratories  
P. O. Box 5800 - MS-0161  
Albuquerque, New Mexico 87185-0161

Phone: (505) 844-8600  
FAX: (505) 844-1418

Dated:

July 5, 2001

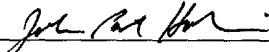
John Paul Hohimer  
John P. Hohimer, 39,226  
Sandia National Laboratories  
Patent & Licensing Center, 11500  
P. O. Box 5800 / MS 0161  
Albuquerque, NM 87185-0161  
Telephone: (505) 845-8628

## CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U. S. Postal Service on the 5th day of July, 2001, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL026585914US, addressed to the: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Marilynn A. Gabel  
Marilynn A. Gabel

<b>FEE TRANSMITTAL FOR FY 2001</b>		<b>Complete if Known</b>																																																																																																																																																																																																																																																			
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<b>SUBMITTED BY</b>			<b>Complete (if applicable)</b>	
Typed or Printed Name <b>John P. Hohimer</b>			Reg. Number <b>39,226</b>	
Signature 			Date <b>7/5/01</b>	
			Deposit Account User ID <b>19-0131</b>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Thor Bakke
	Title	Vertically-Tapered Optical Waveguide and Optical Spot Transformer Formed Therefrom
	Atty Docket Number	SD6853/S96530

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

July 5, 2001  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Signature

John P. Hohimer, Reg. No. 39,226  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Application may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents Washington, DC 20231.